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National Level Authority Record
Preliminary Edition

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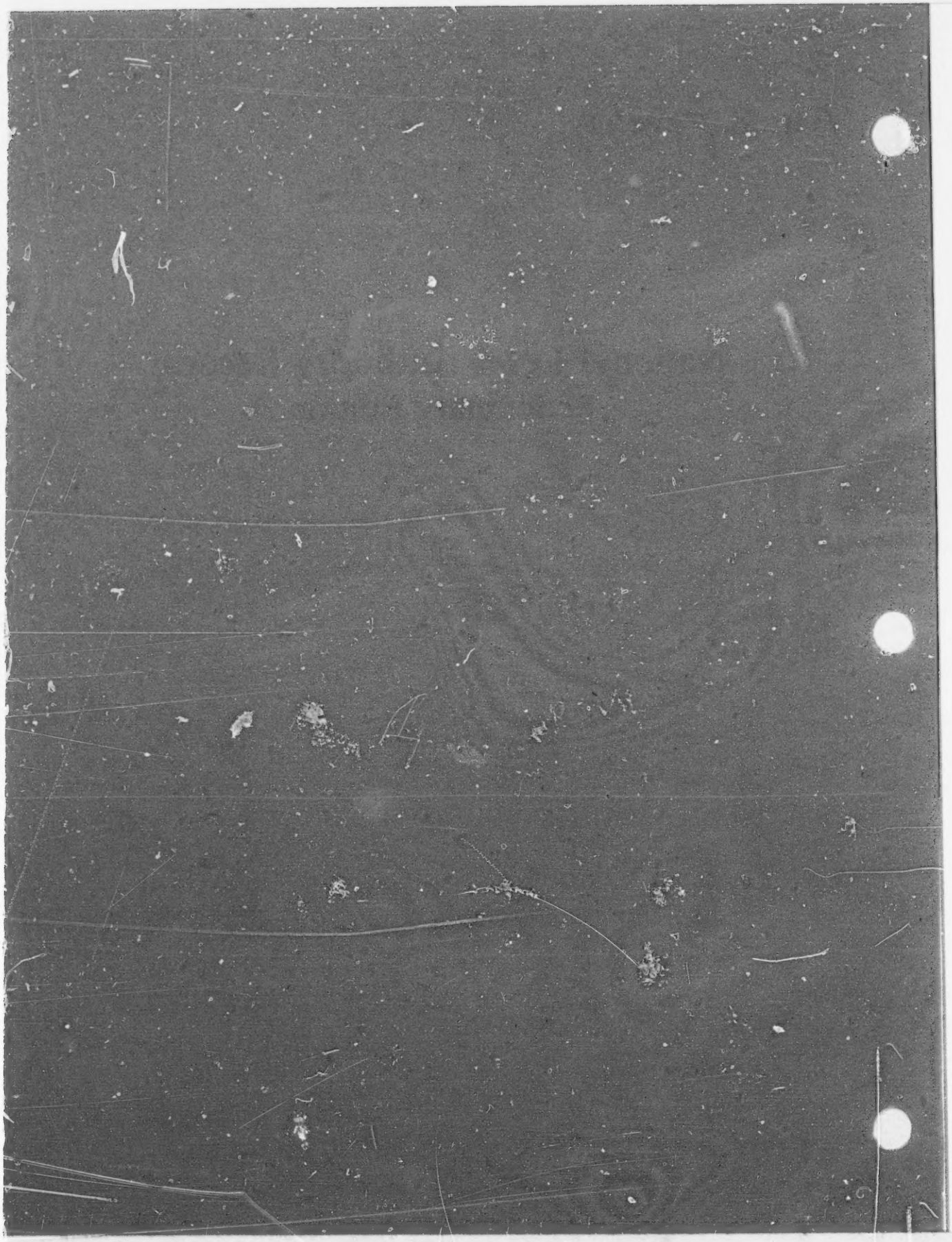

NATIONAL LEVEL AUTHORITY RECORD

Preliminary Edition

Prepared by

Phyllis A. Bruns

Processing Services

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READEX FICHE

INTRODUCTION

Purpose

This document contains specifications for the data elements that should be included by an organization creating authority records in machine-readable form with the intent of sharing those records with other organizations and/or for contributing them to a nationwide data base. The intent of this document is to define the content of such machine-readable national level records (both variable field data and fixed data fields). However, in machine-readable records, content and content designation cannot be separated. Therefore, this publication is based on the first edition of Authorities: a MARC Format, 1981. It should be noted that the specifications in this document are designed for records to be contributed to a nationwide data base, not necessarily for records for local use.

This document is currently called a "Preliminary edition" because many institutions have not had much experience in using the MARC authorities format; there is a feeling that it would be unfortunate to "freeze" a national level record before experience in this area has been gained.

Scope

The scope of these specifications is limited to the following categories of authority and reference records.

1. Authority records for names, subjects, and series (i.e., for personal, corporate, conference, and geographic names, uniform titles, and topical subject headings) created by organizations within the United States beginning in 1981 with the adoption of AACR 2.

   Note: The term "name" as used throughout the 1981 edition of Authorities: a MARC Format and this document encompasses the following: 1) personal names, corporate names (including names of conferences and names of jurisdictions with a corporate or form subheading), and names of jurisdictions without a corporate or form subheading; 2) name/title combinations (including series); 3) uniform titles (including series); and 4) the use of these "names" as main or added entries in bibliographic records. The term "subject" as used throughout the format and this document encompasses the following: 1) topical subject headings; 2) geographic names that are not jurisdictions; 3) "name" headings with subject subdivisions; and 4) "name" headings used as subject added entries in bibliographic records.

INTRODUCTION (Continued)

2. Current, as well as retrospective, authority records if the headings established under the rules for descriptive cataloging conform to the AACR 2 cataloging rules or to the AACR 2 compatible headings to be used by LC, and the headings used as subject headings conform to one of the following six subject heading systems: Library of Congress Subject Headings, Library of Congress Children's Literature Subject Headings, National Library of Medicine Subject Headings, National Agricultural Library Subject Headings, National Library of Canada English Subject Headings, and National Library of Canada French Subject Headings.

3. Authority records which include applicable tracings and other necessary authority data (Leader, byte 17 (Encoding Level) = n). Specifications for authority records which do not contain full authority data, e.g., tracings (Leader, byte 17 = o) are not included in this document.

4. Separate reference records for general explanatory "see" references for subject headings, cataloger-generated "see" references for names, and general explanatory references for names. The 1XX heading in the record is or is not traced on an authority record, depending on the type of reference involved.

This document does not address the modification or updating of one organization's records by another, except as provided in the MARC formats, i.e., field 040, subfield "d." What can be changed by whom, etc. are problems which must be decided for any future cooperative system. It is also outside the scope of this document to address the system problem of ensuring against duplication of headings/authority records. This document is also not concerned with changes or additions needed to the authorities format.

Quality and Consistency

Authority records to be contributed to a nationwide data base must be acceptable to other organizations. Therefore, an organization intending to create national level authority records should assume the responsibility for providing the highest degree of quality and consistency in the data content and content designation of records.

This means adherence to the following "standards":

1. Accepted Descriptive Cataloging Rules
   The descriptive cataloging rules in effect beginnning in 1981 is AACR 2. However, the Library of Congress has identified several categories for which AACR 2 changes do not significantly affect the filing arrangement. (Cf. Cataloging Service Bulletin no. 3, winter 1979, p. 4-6.)

INTRODUCTION (Continued)

LC will continue to use such so called "AACR 2 compatible" headings. If a heading follows AACR 2, then code c (AACR 2) must be present in byte 1Ø (Cataloging Rules Code) of field ØØ8. If a heading is AACR 2 compatible, then code d (Non-AACR 2 form; decision to use with AACR 2 (i.e., "AACR 2 compatible heading")) should be present in that byte.

2. Subject Heading Systems
Byte 11 (Subject Heading System Code) in field ØØ8 indicates the subject heading system used in establishing the heading. Currently, the subject heading systems which can be specifically coded are:

Library of Congress Subject Headings
Library of Congress Children's Literature Subject Headings
National Library of Medicine Subject Headings
National Agricultural Library Subject Headings
National Library of Canada English Subject Headings
National Library of Canada French Subject Headings

3. Format for Machine-Readable Authority Records
The MARC communications format for authorities, approved by the American Library Association's RTSD/RASD/ISAD Interdivisional Committee on Representation in Machine-Readable Form of Bibliographic Information (MARBI), comprises the standard structure and the content designation as well as the content of authority records. The MARC communications format structure is a United States national standard (ANSI Z39.2-1979) and an international standard (ISO 27Ø9-1973) which must be used for communication or distribution of records. Consistency in the MARC content designation of authority records is extremely important if records are to be shared across computer systems and successfully processed and retrieved within individual systems. LC is preparing a manual of instructions applicable to all organizations creating records in conformity with the MARC format for authorities.

Presentation of Data

The information in the document is organized with tables on the left hand page and notes on the right hand page.

The left hand page consists of three columns as follows:

INTRODUCTION (Continued)

1. The first column contains the name and content designation of each element as presented in the first edition of Authorities: a MARC Format, 1981.[1/]

2. The second column, labelled "MARC Authorities Format," shows whether or not the content designator has or will be used in MARC records created and distributed by the Library of Congress. The two codes used in this column are:

   X - indicates that the content designator has or will be used in MARC records created and distributed by the Library of Congress

   * - signifies that the content designator has been defined but is not used in MARC records created and distributed by the Library of Congress

   The codes for this column are based on whether or not the specific elements have been given an asterisk in the 1981 edition of Authorities: a MARC Format. Note that in the format that series authority fields are not asterisked although they cannot be distributed until LC implements this portion of its authority system.

3. The third column, labelled "National level Authority Record," indicates the requirements for data elements for records reflecting original authority or separate reference record creation by organizations within the United States, including the three national libraries (Library of Congress, National Agricultural Library, and the Library of Medicine). The requirement codes used in this column are given below. Note that when the words "fixed field" are used, they apply both to field ØØ8 and to subfield code w (Control subfield) in the 4XX and 5XX fields.

   M - Mandatory (when used in a variable field, the data element must be present in each record, e.g., tag ØØ1. When used with a fixed field element, a value other than the fill character must be input, e.g., byte 9 in field ØØ8)

   MA - Mandatory if applicable (when used in a fixed or variable field, the data element must be present if it is appropriate or if the information is available, e.g., tag 1ØØ)

1/ Library of Congress. Processing Services. Authorities: a MARC Format. (Washington : Automation Planning and Liaison Office, Library of Congress, 1981)

INTRODUCTION (Continued)

O - Optional (the fixed field element that carries this requirement code must be given a code value; however, an organization has the option of assigning one of the defined values or the fill character ($7C_{16}$ in 8-bit ASCII). In such instances, all valid codes (except those not to be used) and the fill character are coded "0," e.g., byte 28 in field ØØ8)

OD - Optional data (when a variable field carries this requirement code, an organization has the option to include the data or not, e.g., tag Ø53)

NU - Not used (when used in a fixed or variable field, the data element must not be present, e.g., tag ØØ2)

Qualification of codes:

a. (LC assigned only) - Codes qualified by "(LC assigned only)" mean that any institution can input the data element if the information has been assigned by LC, as verified in an authoritative reference source, LC copy, etc.

b. (LC use only) - Codes qualified by "(LC use only)" mean that LC is the only organization that is authorized to input the element or use the code value.

Note that subfields do not necessarily have the same requirement code as the tag to which they pertain, i.e., inclusion of given variable field may be optional, but if the field is included, then at least one subfield must be present. Subfield "a" is mandatory in most instances.

The right hand pages, labelled "NOTES," contain information on the usage of some of the elements. Where the heading "For Information Only:" appears, information pertaining to some of the Library of Congress' current and/or anticipated future practices is given so as to enable others to know what LC is doing. Such information should not be interpreted by institutions as meaning that they should follow the LC practice. Note: The Library of Congress plans to implement the series variable fields defined in this edition of the format later this year. (These fields (fields Ø2Ø, Ø22, Ø5Ø, 64Ø-646) will each have a 24 byte control subfield.) However, due to other priorities, LC estimates that it will not implement any of the other specifications in this edition of the format until some time in 1984, at which time LC also plans to always distribute full records. Users of Library of Congress name authority records, therefore, should have not only the 1981 edition of Authorities: a MARC Format but also the

INTRODUCTION (Continued)

"Preliminary edition" of Authorities: a MARC Format,[2] 1976 and its addenda no. 1-8 (October 1977-July 1980), as well as "Information on Authorities," revised October 1977. This documentation is available from the Cataloging Distribution Service, Library of Congress.

This document is not complete. There will be subsequent update pages as changes are made to the authorities format; however, at this time, no decision has been made as to the form of the updates.

The original draft of this document was prepared by Helen F. Schmierer of the University of Chicago Library, on contract to the Library of Congress. The present version of the document was prepared by Phyllis A. Bruns and reflects intensive review of the original document by staff of the Library of Congress Processing Services and Network Development Office. Ms. JoAnne Kitching of the Library of Congress MARC Editorial Division did the original typing of the camera-ready copy.

Purchasing information should be directed to: Cataloging Distribution Service, Library of Congress, Washington, D.C. 20541. (Telephone: 202 287-6100)

[2] Library of Congress. MARC Development Office. Authorities: a MARC Format. Preliminary edition. (Washington : Library of Congress, 1976)

National Level Authority Record

LEADER	MARC Authorities Format	National Level Authority Record
LEADER	X	M
Byte		
Ø-4 Logical Record Length	X	M

NOTES

Leader - Certain elements in the Leader must be system generated and others may be so generated depending upon the capabilities of an individual system. The tables specify which data elements in the Leader are mandatory, but do not specify whether an individual system should generate the element or whether it should be input by keying.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

LEADER		MARC Authorities Format	National Level Authority Record
5	Record Status	X	M
	a - Increase in encoding level	*	MA
	c - Corrected or revised record	X	MA
	d - Record deleted because heading is replaced by another heading	X	MA
	n - New record	X	MA
	s - Record deleted because heading has been split into two or more headings	X	MA
	x - Record deleted (explanation may be present in field 682)	X	MA

NOTES

Record Status - A one-character alphabetic code identifies the status of the record.

Code d is used when an authority record is deleted and replaced by a new authority record in which the heading from the deleted record appears as a tracing in a 4XX field.

Code s is used when an authority record is deleted because the heading has been split into two or more headings, requiring a new authority record for each. The heading from the deleted record is included in each of the new authority records as a tracing in a 4XX field.

Code x is used when an authority record is deleted because of a situation not represented by codes d or s. If an explanation for the deletion is needed, it will be provided in field 682.

For Information Only:
LC currently uses complete records for the distribution of new and deleted records (codes n and d); it only uses partial records for the distribution of corrections (code c), which contain only the heading and the data fields being corrected. In the future, LC plans to distribute complete records for the distribution of corrections.

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OD - Optional data
NU - Not used

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National Level Authority Record

LEADER		MARC Authorities Format	National Level Authority Record
	Legend	X	M
6	Type of Record	X	M
	z - Authority data	X	M
7-9	Blanks	X	M
1Ø	Indicator Count	X	M
	= 2		
11	Subfield Code Count	X	M
	= 2		
12-16	Base Address of Data	X	M
	= Length of Leader & Record Directory (including record directory field terminator)		

NOTES

Guide to Codes Used on the Opposite Page:

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Full definitions on p. vi-vii

National Level Authority Record

	LEADER	MARC Authorities Format	National Level Authority Record
17	Encoding Level	X	M
	n - Authority record contains necessary authority data including applicable tracings	X	M
	o - Authority record does not contain complete authority data, e.g., applicable tracings	*	NU
18-19	Blanks	X	M
	Entry Map (Map of Record Directory Entries)	X	M
2Ø	Length of the Length-of-Field Portion = 4	X	M
21	Length of the Starting-Character-Position Portion = 5	X	M
22	Length of the Implementation-Defined Portion = Ø	X	M
23	Undefined Character = Ø	X	M

NOTES

Encoding Level - A one-character alphabetic code is used to indicate whether the authority record is complete.

Code o is not valid for a national level authority record.

Separate reference records are coded n.

Guide to Codes Used on the Opposite Page:	
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* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
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National Level Authority Record

RECORD DIRECTORY	MARC Authorities Format	National Level Authority Record
RECORD DIRECTORY	X	M
Ø-2 Tag	X	M
3-6 Field length	X	M
7-11 Starting-character position	X	M

NOTES

Record Directory - This data element must be system generated.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

National Level Authority Record

CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
CONTROL FIELDS	X	M
ØØ1 Authority Record Control Number	X	M

NOTES

Authority Record Control Number[1/] - This field contains the authority record control number assigned by the organization creating the machine record. This field may be system generated depending upon the capabilities of an individual system.

It is assumed that each organization will input its own control number in field ØØ1. If institutions wish to construct the control number similar to the LC card number, specifications for its current structure are given below. Additional information may be found on p. 16-17 of Authorities: a MARC Format[2/].

LC Card Numbering System

Ø-2 Alphabetic prefix

3-4 Year

5-1Ø Serial number

11 Supplement number

12-n Alphabetic identifier and/or revision date

(continued)

1/ Work needs to be done to develop a "standard" means of representing control numbers from sources other than the Library of Congress. This matter has been referred to the LC MARC Communications Format Specialist for consideration.

2/ Library of Congress. Processing Services. Authorities: a MARC Format. (Washington : Automation Planning and Liaison Office, Library of Congress, 1981)

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
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Full definitions on p. vi-vii	

National Level Authority Record

CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ2 Subrecord Linkage Field	*	NU
ØØ5 Date and Time of Latest Transaction	X	M
Ø-15 Date and time of latest transaction	X	M

NOTES

Authority Record Control Number (cont.)

For Information Only:
At the present time, prefix "n" is used for records distributed in the MARC Distribution Service--Name Authorities, and prefix "sh" is used for LC authority records for subjects. Prefix "n" will be used for series.

Subrecord Linkage Field - This field is reserved to show subrecord relationships.

Date and Time of Latest Transaction - This field consists of 16 characters indicating the date and time of the latest record transaction. The date portion of the field requires eight numeric characters (4 for the year, 2 for the month, and 2 for the day). The time portion also requires eight numeric characters (2 for the hour, 2 for the minute, 2 for the second, and 2 for a decimal fraction of the second including the decimal point).

Guide to Codes Used on the Opposite Page:

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OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed Length Data Elements	X	M
Byte			
Ø-5	Date Entered on File	X	M
	6 numerics		

NOTES

System Generated Elements - Some of the data elements, such as Date Entered on File (Ø-5), may be system generated depending upon the capabilities of an individual system.

Fill Character - A fill character has been defined for use in field ØØ8 whenever an institution is coding a specific element and has not attempted to supply a defined value. By way of comparison, presence of a code value for "unknown" in a fixed field indicates that the creator of the record has attempted to supply a defined value but was unable to determine what the appropriate code should be. In a national level authority record, the fill character may only be used in ØØ8 elements coded as "0" (Optional).

For communication purposes, hexidecimal "7C" in the expanded 8-bit ASCII character set and hexadecimal "3C" (octal "74") in the standard 6-bit character set derived from the 8-bit ASCII character set is to be used as the fill character; it is typically displayed as a vertical bar (|).

Date Entered on File - For this document, this element is defined as follows: Six numeric characters give the date the record was entered into the machine file to indicate the currency of the record. The characters are in the form: yymmdd (y = year, m = month, d = day).

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O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
6	Direct/Indirect Geographic Subdivision Code	X	0
	ø - Not subdivided geographically	X	0
	d - Subdivided geographically--direct	X	0
	i - Subdivided geographically--indirect	X	0
	n - Not applicable (i.e., heading that cannot be used as a subject heading)	X	0
	| - Fill character ($7C_{16}$ in 8-bit ASCII)	X	0

NOTES

Direct/Indirect Geographic Subdivision Code - A one-character alphabetic code indicates whether a heading is subdivided geographically by the direct or indirect method of subdivision. Headings for which a direct subdivision is indicated are followed immediately by the name of the specific place, without interposition of the name of the country, state, province, etc. Indirect subdivision interposes the name of the country, state, province, etc., between the heading and the place within that country or state to which the subject matter is limited.

For Information Only:
Current LC practice is to use indirect subdivisions only. (Cf. Cataloging Service Bulletin 120, winter 1977, p. 9-12 for further information.) LC therefore codes all headings which can be subdivided geographically for subject purposes as i (Indirect). Code d, however, appears in some early machine-readable records.

Guide to Codes Used on the Opposite Page:

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M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
7	Romanization Scheme	X	0
	a - International standard	*	0
	b - National standard	*	0
	c - National library association standard	*	0
	d - National library or bibliographic agency standard	*	0
	e - Local standard	*	0
	f - Standard of unknown origin	*	0
	g - Conventional romanization or conventional form of name in language of cataloging agency	*	0
	n - Not applicable (i.e., neither heading nor tracing romanized)	*	0
	\ - Fill character ($7C_{16}$ in 8-bit ASCII)	X	0
8	Blank	X	M

NOTES

Romanization Scheme - A one-character alphabetic code indicates the romanization scheme used in formulating the heading (1XX) or the "see from" tracings (4XX). If the romanization scheme used for the heading is different from that used in tracings, the code that applies to the heading is used.

For Information Only:
Until LC implements the 1981 edition of the MARC authorities format, LC will carry this information in control subfield w, byte 16. Byte 16 will continue to be set to a hyphen (null) in name authority records and to n in subject authority records. When the 1981 edition of the MARC authorities format is implemented by LC, both name and subject authority records will contain a fill character (|) in byte 7 of field ØØ8.

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OD - Optional data
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Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
9	Authority Reference Record Code	X	M
	a - Authority record	X	MA
	b - Reference record (untraced reference)	X	MA
	c - Reference record (traced reference)	X	MA

NOTES

Authority Reference Record Code - A one-character alphabetic code indicates whether the record is an authority record (i.e., the 1XX field is an established heading) or a separate reference record (i.e., the 1XX field is not an established heading).

Most references to a heading are not carried explicitly in the machine-readable authority record since they can be printed from the tracings carried in the 4XX and 5XX fields. If, however, the required reference is too complex to be constructed from one (or more) tracings by a display program, the actual reference is carried in the machine-readable record in one of two ways:

1) If the 1XX field is an established form of the heading, the general explanatory "see also" references for subjects, cataloger-generated "see also" references for names, or information or history references for names, are carried in fields 360, 663, and 665, respectively, in authority records. The text of the reference (other than the heading referred from) is carried in field 360, 663, or 665.

2) If the 1XX field is not an established form of heading, the general explantory "see" references for subjects, cataloger-generated "see" references for names, or general explantory references for names are carried in fields 260, 664, and 666, respectively, in separate references records. The text of the reference (other than the heading referred from) is carried in field 260, 664, or 666. Only when field 664 is present in the record is the 1XX field of the separate reference record traced as a 4XX field in the authority record for each heading referred to.

(continued)

Guide to Codes Used on the Opposite Page:

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* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
008 Fixed-Length Data Elements (cont.)		

NOTES

Authority Reference Record Code (cont.)

Use code

a - for all authority records. Field 36Ø, 663, or 665 may be present in an authority record. Fields 26Ø, 664, or 666 must not be present in the records.

b - for separate reference records which are not traced on an authority record. A field 26Ø or 666 must be present in the record.

c - for separate reference records which are traced on an authority record. A field 664 must be present in the record.

Guide to Codes Used on the Opposite Page:

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M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
1Ø	Cataloging Rules Code	X	M
	a - Earlier rules (e.g., ALA Cataloging Rules for Author and Title Entries)	X	NU
	b - AACR 1	X	NU
	c - AACR 2	X	MA
	d - Non-AACR 2 form; decision to use with AACR 2 (i.e., "AACR 2 compatible heading")	X	MA
	e-m, o-z - To be assigned to other rules, as required	*	NU
	n - Not applicable (i.e., heading is not a name)	X	MA

NOTES

Cataloging Rules Code - A one-character alphabetic code indicates the cataloging rules used for establishing the name heading.

Heading fields 1ØØ-13Ø, 151 which are established under descriptive cataloging rules must have a code c or d. Codes for all other headings should be n.

For Information Only:
Until the 1981 edition of the MARC authorities format is implemented in LC, LC will carry this information in control subfield w, byte 12 of the heading field. Beginning in 1981, new name headings are coded c or d. Subject headings are coded n.

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M - Mandatory
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OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
11	Subject Heading System Code	X	M
	a - Library of Congress	X	MA
	b - LC Children's Literature	X	MA
	c - National Library of Medicine	*	MA
	d - National Agricultural Library	*	MA
	k - National Library of Canada English Headings	*	MA
	v - National Library of Canada French Headings	*	MA
	n - Not applicable (i.e., not a subject heading)	X	MA
	z - Other	*	NU

NOTES

Subject Heading System Code - A one-character alphabetic code indicates the subject heading system used in establishing the heading.

Guide to Codes Used on the Opposite Page:

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M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
12	Type of Series Code	X	M
	a - Monographic series (i.e., authority record is for a heading that represents a series consisting of individual volumes and/or subseries which may be cataloged separately)	X	MA
	b - Multipart item (i.e., authority record is for a heading that represents a monographic publication consisting of individual items which may be cataloged separately)	X	MA
	c - Series-like phrase not to be considered a series	X	MA
	n - Not applicable (i.e., authority record is for a heading that is not a series, or no series treatment or other series information is included in the record)	X	MA
	z - Other (i.e., authority record is for a heading that represents a publication for which series-type treatment is required, but the publication does not fit any of the defined categories, e.g., a serial in which a single or occasional monograph is analyzed)	X	MA

NOTES

Type of Series Code - A one-character alphabetic code indicates the type of series, if any, which a heading represents.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
13	Numbered/Unnumbered Series Code	X	M
	a - Numbered series	X	MA
	b - Unnumbered series	X	MA
	c - Series numbering varies between numbered and unnumbered	X	MA
	n - Not applicable (i.e., not a series heading)	X	MA
14	Heading Use Code--Main or Added Entry	X	M
	a - Heading is appropriate for use as main or added entry	X	MA
	b - Heading is not appropriate for use as main or added entry	X	MA

NOTES

Numbered/Unnumbered Series Code - A one-character alphabetic code indicates whether a series is numbered, unnumbered, or varies between numbered and unnumbered. Numbering may be alphameric or chronological. The code used should reflect the series as a whole (i.e., over its lifetime) not just current practice.

Heading Use Code--Main or Added Entry - A one-character alphabetic code indicates whether the heading is appropriate for use as main or added entry.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
15	Heading Use Code--Subject Added Entry	X	M
	a - Heading is appropriate for use as subject added entry	X	MA
	b - Heading is not appropriate for use as subject added entry	X	MA
16	Heading Use Code--Series Added Entry	X	M
	a - Heading is appropriate for use as series added entry	X	MA
	b - Heading is not appropriate for use as series added entry	X	MA
17-27	Blanks	X	M

NOTES

Heading Use Code--Subject Added Entry - A one-character alphabetic code indicates whether the heading is appropriate for use as subject added entry.

Heading Use Code--Series Added Entry - A one-character alphabetic code indicates whether the heading is appropriate for use as series added entry.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
28	Type of Government Agency Code	X	0
	␣ - Not a government agency	X	0
	a - Autonomous or semi-autonomous component of the Soviet Union, the Yugoslav Republic, or Malaysia	*	0
	c - Multilocal (i.e., regional combination of juridictions below the state level)	*	0
	f - Federal/national (i.e., sovereign nation, such as Canada)	*	0
	i - International intergovernmental body	*	0
	l - Local jurisdiction (i.e., county, city, town, etc.)	*	0
	m - Multistate (i.e., regional combination of jurisdictions at the state, provincial, territorial, etc., level)	*	0
	o - Government agency--level undetermined	*	0
	s - State, provincial, territorial, dependent, etc., jurisdiction	*	0
	u - Unknown if heading is government agency	*	0
	z - Government agency--level other than can be specified by other code values	*	0
	' - Fill character ($7C_{16}$ in 8-bit ASCII)	*	0

NOTES

Type of Government Agency Code - A one-character alphabetic code indicates the jurisdictional level of a body created or controlled by a national, state (or provincial), or local government (including intergovernmental bodies of all types). Such governmental agencies are not limited to bodies established under political jurisdictions.

For Information Only:
Until LC implements the 1981 edition of the MARC authorities format, LC name and subject authority records will contain code b. When the 1981 edition of the MARC authorities format is implemented by LC, both name and subject authority records will contain a fill character (|) in this position.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
29	Reference Evaluation Code	X	M
	Ø - Value used in records before the definition of this byte	X	NU
	a - Tracings have been evaluated and are consistent with the heading	X	MA
	b - Tracings have not been evaluated and are not necessarily consistent with the heading	X	MA
	n - Not applicable (i.e., the heading has no associated tracings)	X	MA
3Ø	Blank	X	M
31	Record Update in Process Code	X	M
	a - Record can be used	X	MA
	b - Record is being updated and should therefore not be used until updating is complete	*	MA

NOTES

Reference Evaluation Code - A one-character alphabetic code indicates whether or not the tracings associated with a heading have been evaluated for consistency with the heading. This concept becomes particularly important in handling records in which the AACR 2 form of heading appears in the 1XX field, but references in the same record may or may not have undergone evaluation against the AACR 2 heading form.

For Information Only:
LC will need to use this byte for tracings associated with name headings until all tracings on name authority records created prior to the implementation of AACR 2 in 1981 have been evaluated and the authority records updated.

Record Update in Process Code - A one-character alphabetic code is used to indicate when an authority or separate reference record is in the process of being updated. The update may affect the heading or any other field in the record. Code b should appear only in records available through an online system to alert other users of the system that a record may be in the process of change and therefore should not be used.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
32	Undifferentiated Personal Name Code	X	M
	a - Differentiated personal name	X	MA
	b - Undifferentiated personal name	X	MA
	n - Not applicable (i.e., not a personal name heading)	X	MA

NOTES

Undifferentiated Personal Name Code - A one-character alphabetic code indicates that, since neither dates nor distinguishing terms are available, the same heading is used for more than one person. Only one authority record is made.

For authority records, all three codes are appropriate. For separate reference reords, only codes a and n are appropriate.

For Information Only:
Codes a and b are used in LC name authority records, and code n is used in LC authority records for subjects.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
33	Status of Authority Heading Code	X	MA
	a - Fully established heading that has been used on a bibliographic record	X	MA
	b - Memorandum (i.e., heading is established but has not been used on a bibliographic record)	X	NU
	c - Provisional (i.e., heading cannot be established definitively due to inadequate information; when the heading is next used, it should be reconsidered in the light of any additional information)	X	MA
	d - Preliminary (i.e., heading is established in connection with the cataloging of a bibliographic item that is not available at the time the heading is established; the heading will be reconsidered when an appropriate item is available)	X	MA
	n - Not applicable (i.e., the record is a reference record, not an authority record and, therefore, the 1XX field does not contain a valid heading)	X	MA

NOTES

Status of Authority Heading Code - A one-character alphabetic code is used to indicate the level of establishment of a heading in an authority record.

Note: This data element should not be confused with Leader byte 17 which relates to the fullness of the entire record.

For Information Only:
LC will use code d to designate headings established for records contributed to the National Union Catalog. If and when the heading is used for LC cataloging, the status will be changed to code a or c.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
34	Blank	X	M
35-37	Language of Heading Code	X	O
	3 char. alphabetic code	*	O
	||| - Fill characters ($7C_{16}$ in 8-bit ASCII)	X	O

NOTES

Language of Heading Code - A three-character alphabetic code taken from the "List of Languages and Language Codes"[1] can be used to describe the language of the heading.

For Information Only:
Until LC implements the 1981 edition of the MARC authorities format, LC name and subject authority records will contain three blanks (bbb) (not assigned), which are now invalid for the element. When the 1981 edition of the MARC authorities format is implemented by LC, both name and subject authority records will contain fill characters in these positions.

[1] The "List of Languages and Language Codes" is published as Appendix II.C. of the MARC Formats for Bibliographic Data, available from the Cataloging Distribution Service, Library of Congress.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory
	MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional
	OD - Optional data
	NU - Not used

Full definitions on p. vi-vii

CONTROL FIELDS		MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
38	Modified Record Code	X	o
	ⱥ - Record is not modified	X	o
	s - Record is shortened because record length exceeds maximum allowable length	*	o
	x - Record contains characters that can not be input because they are not in the character set (e.g., nonroman characters)	*	o
	! - Fill character ($7C_{16}$ in 8-bit ASCII)	*	o

NOTES

Modified Record Code - A one-character alphabetic code indicates that the authority or separate reference record contains characters that could not be converted to machine-readable form (e.g., nonroman alphabet characters) or that the machine authority or reference record had to be shortened because the data exceeded the maximum allowable length.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

	CONTROL FIELDS	MARC Authorities Format	National Level Authority Record
ØØ8	Fixed-Length Data Elements (cont.)		
39	Cataloging Source Code	X	M
	Ø - Library of Congress	X	MA (LC use only)
	d - Other sources	X	MA
	u - Unknown	*	MA

NOTES

Cataloging Source Code - A one-character alphabetic code gives the source of authority or separate reference record data. This element is used in conjunction with field Ø4Ø.

If code d is present, the National Union Catalog (NUC) symbol of the contributing institution is recorded in subfield "a" of field Ø4Ø.

For Information Only:
Records contributed to the Name Authority Cooperative Project at LC have code d in byte 39 of field ØØ8, carry the NUC symbol of the contributing institution in subfield "a" of field Ø4Ø, and the NUC symbol for LC in subfield "c" of field Ø4Ø.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
VARIABLE FIELDS	X	
Ø1Ø LC Authority Record Control Number	X	MA (LC use only)
$a LC authority record control number	X	M
$z Cancelled/invalid LC authority record control number	X	M
Indicators - Blank	X	M

NOTES

LC Authority Record Control Number - Only LC should use this field when creating a record. LC currently uses this field only when there is a need to distribute a cancelled or invalid LC authority record control number. The cancelled or invalid number is input in subfield "z"; the valid number in subfield "a."

It is assumed that no organization will transcribe a MARC authority record, since that record is already available in machine-readable form. Non-MARC authority records can only be found in LC's card catalogs; thus, they are not available for transcription by others. If an organization uses an LC MARC authority record and inputs the LC control number in field Ø1Ø, such records should not be contributed to a nationwide data base.

For Information Only:
LC plans to always carry an LC card number in both fields ØØ1 and Ø1Ø in every authority or separate reference record it creates and distributes.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø14 Link to Bibliographic Record for Serial or Multipart Item (Series)	X	OD
$a Control number of the bibliographic record for the serial or multipart item	X	M
Indicators - Blank	X	M
Ø2Ø International Standard Book Number (Series)	X	MA
$a International Standard Book Number	X	MA
$c Terms of availability	X	OD
$z Cancelled/invalid ISBN	X	MA
Indicators - Blank	X	M

NOTES

Link to Bibliographic Record for Serial or Multipart Item (Series) - This field contains the control number of the machine-readable bibliographic record for the serial or multipart item as a whole. The control number should be structured exactly as in field ØØ1 of the bibliographic record so that it may be sorted and retrieved in both records using the same logic. The control number is preceded by the institution's National Union Catalog symbol, enclosed in parentheses.

International Standard Book Number (Series) - This field contains the International Standard Book Number (ISBN) for a multipart item. An ISBN is a unique identification number assigned to an individual publication.

Inclusion of the ISBN in the authority record for a "series" that is a multipart item may serve as a link to the bibliographic record for that item in a given data base.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø22 International Standard Serial Number (Series)	X	MA
$a International Standard Serial Number	X	MA
$y Incorrect ISSN	X	MA
$z Cancelled ISSN	X	MA
Indicators - Blank	X	M
Ø35 Local System Control Number	*	OD
$a Local system control number	*	M
Indicators - Blank	*	M

NOTES

International Standard Serial Number (Series) - This field contains the International Standard Serial Number (ISSN), which is a unique identification number assigned to each serial issued within a country or region by the national or regional International Serials Data System (ISDS) center.

Inclusion of the ISSN in the series authority record may serve as a link to the bibliographic record for the serials in the ISDS system or in an individual data base.

Local System Control Number - This field contains a system control number other than the one in field ØØ1 or the Library of Congress control number in field Ø1Ø, when it has been input by LC. The control numbers to be recorded in field Ø35 depend upon the needs of the institution creating the machine record. The control number information consists of the National Union Catalog symbol of the institution, enclosed in parentheses, followed by the control number. If the number is to provide a machine link with a bibliographic record, the number itself should be recorded in the same form in which it appears in that record.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

• - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
CD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
040 Cataloging Source	X	M
$a Original cataloging agency	X	M
$b Language of cataloging	*	MA
$c Transcribing agency	X	M
$d Modifying agency	X	MA
Indicators - Blank	X	M

NOTES

Cataloging Source - This field contains the names of the institutions (represented by the symbols used for the National Union Catalog (NUC)) that provided the data for the authority or separate reference record, transcribed the information into machine-readable form, and/or modified an existing machine-readable record. It can also contain a code for the language of cataloging. This field is used in conjunction with the Cataloging Source Code in byte 39 of field ØØ8.

When byte 39 of field ØØ8 is set to code d (Other sources), the organization creating its own authority or separate reference record should have its NUC symbol present in both subfields "a" and "c" of field Ø4Ø. When byte 39 of field ØØ8 is set to code u (Unknown), no subfield "a" should be present in field Ø4Ø; however, subfield "c," containing the NUC symbol of the transcribing agency, should be present.

Subfield code b - This subfield should be used to indicate non-English language cataloging, i.e., the language of the authority record when that record uses other than English for the whole record. A three-character alphabetic code taken from the "List of Languages and Language Codes"1/ can be used to described the language of cataloging.

Note: If an organization creates a machine-readable authority record for a heading established by LC, but LC has not already converted the authority record for that heading to machine-readable form, the

(continued)

1/ The "List of Languages and Language Codes" is published as Appendix II.C. of the MARC Formats for Bibliographic Data, available from the Cataloging Distribution Service, Library of Congress.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø42 Authentication Center	*	NU
$a Authentication center	*	
Indicators - Blank	*	

NOTES

Cataloging Source (cont.)

organization which creates the machine-readable record should consider itself to be both the cataloging and transcribing source in byte 39 of field ØØ8 and in field Ø4Ø. The source in which the organization found the LC heading should be given in field 67Ø (Source Data Found), citing the actual bibliographic record on which the heading was found, etc.

For Information Only:
Records distributed by LC do not include field Ø4Ø when field ØØ8, byte 39 contains code b. Records contributed to the Name Authority Cooperative Project at LC have code d in byte 39 of ØØ8 and carry the NUC symbol of the contributing institution in subfield "a" of field Ø4Ø and the NUC symbol for LC in subfield "c" of field Ø4Ø.

Authentication Center - This field may contain one or more codes for authentication centers which have reviewed and upgraded (if necessary) an authority record in a national authority data base. The codes assigned will be compatible with those assigned for other cooperative input projects.

This field requires definition of a cooperative authorities system before it can be used.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø43 Geographic Area Code	*	NU
$a Geographic area code	*	
Indicators - Blank	*	
Ø45 Chronological Code or Date/Time	*	NU
$a Chronological code	*	
$b Chronological date/time	*	
Indicators		
1st - Type of date/time	*	
ß - No date/time recorded (i.e., no subfield $b)	*	
Ø - Single date/time	*	
1 - Multiple single date/time	*	
2 - Range(s) of dates/times	*	
2nd - Blank	*	

NOTES

Geographic Area Code - This field contains the geographic area code if there is a geographic area associated with the heading.

This field should not be used until input conventions have been worked out.

Chronological Code or Date/Time - This field contains a chronological code(s), date(s) and/or time(s) associated with the heading.

This field should not be used until input conventions have been worked out.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø5Ø Library of Congress Call Number (Series)	X	OD (LC assigned only)
$a Classification number	X	M
$b Item number	X	MA
$d Volumes/dates to which call number applies	X	OD (current) M (earlier)
Indicators - Blank	X	M
Ø52 Geographic Classification Code	*	NU
$a Area	*	
$b Subarea	*	
Indicators - Blank	*	

NOTES

Library of Congress Call Number (Series) - This field contains the Library of Congress call number of a series if LC has classified all or part of the series as a collected set.

The use of subfield "d" is optional for the current call number, but is mandatory for earlier call numbers.

Geographic Classification Code - This field contains the geographic classification code associated with the heading, which is more specific than the Ø43 Geographic Area Code.

This field should not be used until input conventions have been worked out.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø53 LC Classification Number	X	OD
$a LC classification number--single number or beginning number of a range	X	M
$b LC classification number--end number of a range	X	MA
$c Explanatory term	X	MA
Indicators - Blank	X	M

NOTES

LC Classification Number - This field contains the LC classification number associated with an authority heading. The field may contain one or more classification numbers or a range of numbers, with or without explanatory terms.

For Information Only:
LC plans to implement field Ø5Ø later this year. Until that time, LC will continue to use this field for both unformatted and formatted classification numbers. (Field Ø5Ø has never been used.) Since only subfield "a" is defined for field Ø53, a single subfield can contain one or more single numbers, plus an explanatory term where appropriate. Subfields "b" and "c" will be implemented later.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Ø83 Dewey Decimal Classification Number	*	NU
$a Dewey decimal classification number--single number or beginning number of a range	*	
$b Dewey decimal classification number--end number of a range	*	
$c Explanatory term	*	
$2 Source (i.e., edition number)	*	
Indicators		
1st - Type of edition	*	
Ø - Full edition	*	
1 - Abridged edition	*	
2nd - Blank	*	
Ø9Ø Local Call Number (Series)	*	OD
$a Classification number	*	M
$b Item number	*	OD
$d Volumes/dates to which call number applies	*	OD (current) M (earlier)
Indicators - Blank	*	M

NOTES

Dewey Decimal Classification Number - This field contains the Dewey decimal classification number associated with an authority heading, as well as any explanatory terms.

This field should not be used until input conventions have been worked out.

Local Call Number (Series) - This field contains the local call number of a series if all or part of the series is classified as a collected set.

The use of subfield "d" is optional for the current call number, but is mandatory for earlier call numbers.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

Notes

1XX Established Heading Fields -- General Information

Every authority or separate reference record must contain a 100, 110, 111, 130, 150, or 151 heading field.

In authority records, the 1XX field contains either 1) a heading which has been established based on the AACR 2 cataloging rules, 2) an AACR 2 compatible heading to be used by LC, or 3) a heading which has been established according to one of the six accepted subject heading systems.

Example: Established heading: Fitzgerald, Ella[1/]

Input as: [100] 10↓aFitzgerald, Ella

In those separate reference records that are themselves created as separate records (in contrast with any reference "records" generated from reference tracings), the 1XX field contains an unestablished form of heading.

Example: Heading referred from: De la

Input as: [100] 00↓aDe la

For Information Only:
The nonfiling indicator is set to value "0" inasmuch as LC omits the initial article except where it is intended that the article be regarded in filing.

1/ Because use of ending punctuation in headings, tracings, and references varies among libraries, no ending periods appear in the examples that follow.

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
100 Established Heading - Personal Name	X	MA
$a Name	X	M
$b Numeration (roman numerals used in the entry element of a name)	X	MA
$c Titles and other words associated with the name	X	MA
$d Dates (of birth, death, or flourishing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$q Qualification of name (fuller form)	X	MA
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA

(continued)

NOTES

Established Heading - Personal Name - For this document, the field is defined as follows: This field contains a personal name.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
1ØØ Established Heading - Personal Name (cont.)		
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of personal name	X	M
Ø - Forename only	X	MA
1 - Single surname	X	MA
2 - Multiple surname	X	MA
3 - Name of family	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
11Ø Established Heading - Corporate Name	X	MA
$a Name	X	M
$b Each subordinate unit in hierarchy	X	MA
$c Place (including a name of an institution) where conference was held	X	MA
$d Date (of conference or meeting/of treaty signing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information (use for "other party" in treaty)	X	MA
$h Media qualifier	X	OD
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA

(continued)

NOTES

Established Heading - Corporate Name - For this document, the field is defined as follows: This field contains a corporate name. Included in this field are geographic names with a corporate or form subheading and/or a title. Geographic names alone or followed by a subject subdivision should be recorded in field 151.

First indicator value Ø is generally not expected to be needed under AACR 2 but is defined in the format and therefore retained for consistency.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
11Ø Established Heading - Corporate Name (cont.)		
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of corporate name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with corporate or form subheading and/or title	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
111 Established Heading - Conference or Meeting Name	X	MA
$a Name (of conference or name of place as entry element)	X	M
$b Number (of conference)	X	NU
$c Place (including a name of an institution) where conference was held	X	MA
$d Date (of conference)	X	MA
$e Subordinate unit in name	X	MA
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$k Form subheading	X	MA
$l Language	X	MA
$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$p Name of part/section (of a work)	X	MA
$q Name of conference following place as entry element	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
(continued)		

NOTES

Established Heading - Conference or Meeting Name - For this document, the field is defined as follows: This field contains a conference or meeting name, the name of an event (athletic event, exhibition, fair, festival, etc.), or the name of an expedition which is a direct entry.

Subfield code "b" is not valid for post-1980 records. Subfield code "n" should be used when coding the number of a conference or meeting, event, or expedition.

Subfield codes "g" and "q" and first indicator values Ø and 1 are generally not expected to be needed under AACR 2 but are defined in the format and therefore retained for consistency.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
111 Established Heading - Conference or Meeting Name (cont.)		
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of conference or meeting name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with conference subheading	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
13Ø Established Heading - Uniform Title	X	MA
$a Uniform title heading	X	M
$d Date (of treaty signing)	X	MA
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
(continued)		

NOTES

Established Heading - Uniform Title - This field contains a uniform title heading, that is, the particular title by which a work that may have appeared under varying titles is to be identified for cataloging purposes in order to bring together in a file the various editions and translations of works or parts of works that have not been entered under a personal or corporate name. This field includes such categories as titles of anonymous works, composite manuscripts and manuscript groups, names of treaties and intergovernmental agreements, serials, sacred scriptures, and other works entered under title; also the names of radio and television programs, motion pictures, and videorecordings entered under title.

Subfield code "t" is generally not expected to be needed under AACR 2 but is defined in the format and therefore retained for consistency.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
13Ø Established Heading - Uniform Title (cont.)		
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
15Ø Established Heading - Topical Subject	X	MA
$a Topical subject or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Established Heading - Topical Subject - This field contains a topical subject heading.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
151 Established Heading - Geographic Name	X	MA
$a Geographic name or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Established Heading - Geographic Name - This field contains a geographic name heading (e.g., natural feature, geographic region, archaeological site, park, or political jurisdiction) alone or followed by a subject subdivision. Geographic names with a corporate or form subheading and/or a title should be recorded in field 11Ø.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
26Ø General Explanatory See Reference (Subjects)	X	MA
$a Subject heading	X	M
$i Explanatory text	X	M
Indicators - Blank	X	M
36Ø General Explanatory See Also Reference (Subjects)	X	MA
$a Subject heading	X	M
$i Explanatory text	X	M
Indicators - Blank	X	M

NOTES

General Explanatory See Reference (Subjects) - This field is used in a separate reference record to provide the text for a general explanatory "see" reference.

The actual reference comprises the 1XX heading and the 26Ø field. Field 26Ø appears only in separate reference records, and the reference is not traced in a 4XX field in any authority records.

In the separate reference record,
1. Byte 9 in field ØØ8 should be set to code b (Reference record (untraced)).
2. A 1XX heading field containing the unestablished form of the subject referred from must be present.
3. Field 26Ø containing the explanatory text and the established form of subject headings referred to must be present.

General Explanatory See Also Reference (Subjects) - This field is used in an authority record to provide a general explanatory "see also" reference.

The actual reference comprises the 1XX heading and the 36Ø field. Field 36Ø appears only in authority records, and the reference is not traced in a 5XX field in the authority record.

In the authority record,
1. Byte 9 in field ØØ8 should be set to code a (Authority record).
2. A 1XX heading field containing the established form of the heading referred from must be present.
3. Field 36Ø containing the explanatory text and the form of subject headings referred to must be present.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Subfield code w - Control Subfield	X	MA

NOTES

Subfield code w - Control Subfield - The control subfield contains a variable number of fixed position, one-character alphabetic codes which provide information at the field level with respect to: 1) whether a tracing is restricted to the reference structure of a particular type of authority, and 2) whether special instructions apply to the display[1/] of the tracing in the form of a reference. This subfield is defined for use only in 4XX and 5XX fields. When it is needed, the subfield occurs as the first subfield in the field.

If the restrictions/special instructions do not apply to a given field, the control subfield need not be used in that field. However, if the control subfield is used, the coding of any position mandates that each prior position be explicitly coded also. Code values in the control subfield may be used to produce print constants to clarify the use of a given tracing and/or reference. Note: The subfield is currently never longer than four characters.

Fill Character - The fill character may be used in any position of the control subfield required solely because a subsequent position is coded. The fill character is used in such situations when an organization does not attempt to supply a defined value in the given position in the subfield.

For communication purposes, hexidecimal "7C" in the expanded 8-bit ASCII character set and hexidecimal "3C" (octal "74") in the standard 6-bit character set derived from the 8-bit ASCII character set is to be used as the fill character; it is typically displayed as a vertical bar (|).

1/ Throughout this document, the word "display" means any "eye-readable" computer output, e.g., a video display or a printed record.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Subfield code w - Control Subfield (cont.)		
Ø Special-Relationship Code	X	O
a - Earlier heading	X	O
b - Later heading	X	O
d - Acronym	X	O
f - Musical composition	X	NU
g - Broader term	X	O
h - Narrower term	*	O
i - Reference instruction phrase in subfield $i	*	O
n - Not applicable (i.e., no special relationship)	X	O
! - Fill character ($7C_{16}$ in 8-bit ASCII)	X	O

NOTES

Special-Relationship Code - A one-character alphabetic code specifies the relationship between a tracing and the heading.

If no special relationship applies, the position need not be coded unless a subsequent position is required. (If a subsequent byte is required, code n (or a fill character) must be input explicitly.)

Codes a, b, and d may be used with tracings which are appropriate for use in the name and series authority reference structures. Codes g and h may be used with tracings which are appropriate for use in the subject authority reference structure. Codes i and n may be used with tracings which are appropriate for use in the name, subject, and series authority reference structures. Code f is not valid under AACR 2.

For Information Only:
Until LC implements the 1981 edition of the MARC authorities format, LC will continue to code this information in bytes 14 and 22 of control subfield w. When LC implements the revised authorities format, such information will be moved from bytes 14 and 22 to this byte. Codes a and b are used only in 5XX fields. LC discontinued using codes d and f as of the end of 1980. However, until all records created prior to 1981 have been updated and those codes deleted, code d will continue to appear in some 4XX fields and code f in some 5XX fields.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Subfield code w - Control Subfield (cont.)		
1 Tracing-Use-Restriction Code	X	0
a - Appropriate for use in the name authority reference structure only	X	0
b - Appropriate for use in the subject authority reference structure only	X	0
c - Appropriate for use in the series authority reference structure only	X	0
d - Appropriate for use in the name and subject authority reference structures only	X	0
e - Appropriate for use in the name and series authority reference structures only	X	0
f - Appropriate for use in the subject and series authority reference structures only	X	0
g - Appropriate for use in the name, subject, and series authority reference structures	X	0
n - Not applicable (i.e., tracing-use restriction is the same as in field ØØ8 bytes 14-16)	X	0
| - Fill character ($7C_{16}$ in 8-bit ASCII)	X	0

NOTES

Tracing-Use-Restriction Code - A one-character alphabetic code indicates the authority reference structure(s) in which a given tracing is appropriate.

If a tracing is appropriate in the same authority structure(s) as the heading (as indicated in field ØØ8, bytes 14-16), this position need not be coded unless a subsequent position is required. (If a subsequent byte is required, code n (or a fill character) must be input explicitly.)

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Subfield code w - Control Subfield (cont.)		
2 Earlier-Cataloging-Rules Code	X	0
a - Tracing is the form of heading established under earlier cataloging rules	X	0
n - Not applicable (i.e., tracing is not the form of heading established under earlier cataloging rules)	X	0
! - Fill character ($7C_{16}$ in 8-bit ASCII)	X	0

NOTES

Earlier-Cataloging-Rules Code - A one-character alphabetic code indicates whether a 4XX tracing is the form of the heading established under earlier cataloging rules.

If the tracing is not the form of heading established under earlier rules, the position need not be coded unless byte 3 is required. (If byte 3 is required, code n (or a fill character) must be input explicitly.)

For Information Only:
Until LC implements the 1981 edition of the MARC authorities format, LC will continue to code this information in byte 12 of control subfield w. When LC implements the revised authorities format, such information will be moved from byte 12 to this byte. Until all tracings on LC name authority records created prior to 1981 have been evaluated and the authority records updated, some 4XX fields will be coded with earlier values "b" (AACR 1), "c" (AACR 2), or "d" (Non-AACR 2 form; decision to use with AACR 2).

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
Subfield code w - Control Subfield (cont.)		
3 Reference-Display/Print-Restriction Code	X	0
a - No reference is made	X	0
b - Reference is not displayed from a tracing because it is covered by a separate reference record containing a field 664	X	0
c - Reference is not displayed from a tracing because it is covered by a 663 note field	X	0
d - Reference is not displayed from a tracing because it is covered by an information or history reference note in field 665	X	0
n - Not applicable (i.e., a reference <u>is</u> displayed from the tracing)	X	0
\ - Fill character ($7C_{16}$ in 8-bit ASCII)	X	0

NOTES

Reference-Display/Print-Restriction Code - A one-character alphabetic code indicates whether a reference is to be displayed from a 4XX or 5XX tracing.

Code values diffentiate among the following cases: 1) no reference is made at all, 2) a separate reference record obviates the need for a reference to be displayed from the tracing, and 3) the reference is displayed from a note field within the authority record.

If a reference is to be displayed from the tracing, the position need never be coded.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

NOTES

4XX See From Tracings -- General Information

A 4XX tracing field in an authority record contains the variant forms of the established heading under which a person, corporate body, conference, work, topical subject, or place may be known. A 4XX field is used for a "see from"[1/] tracing.

The actual references can be displayed from the 4XX fields as desired, based on the codes provided in control subfield w, if present. For instance, by coding the appropriate byte in subfield w in the 4XX field, explanatory data can be displayed in the reference or no reference can be displayed from the 4XX field (a situation which is desirable when the reference is covered by a separate reference record containing a 664 note field, etc.). If no subfield w is present in a 4XX field, a simple "see" reference can be displayed from the data in the field.

Example: ("see" reference display):

Croix-Rouge suisse
see
Schweizerisches Rotes Kreuz

(Displayed from tags 11Ø and 41Ø): [11Ø] 2Ø#aSchweizerisches Rotes Kreuz

[41Ø] 2Ø#aCroix-Rouge suisse

1/ In the actual references printed from the 4XX fields, the Library of Congress is currently using the phrase "search under" rather than "see."

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
400 See From Tracing - Personal Name	X	MA
$w Control subfield	X	MA
$a Name	X	M
$b Numeration (roman numerals used in the entry element of a name)	X	MA
$c Titles and other words associated with the name	X	MA
$d Dates (of birth, death, or flourishing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "1" in byte 0 of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$q Qualification of name (fuller form)	X	MA

(continued)

NOTES

See From Tracing - Personal Name - This field contains the tracing for the form of personal name referred from.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
400 See From Tracing - Personal Name (cont.)		
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of personal name	X	M
∅ - Forename only	X	MA
1 - Single surname	X	MA
2 - Multiple surname	X	MA
3 - Name of family	X	MA
2nd - Nonfiling characters	X	M
∅-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
41Ø See From Tracing - Corporate Name	X	MA
$w Control subfield	X	MA
$a Name	X	M
$b Each subordinate unit in hierarchy	X	MA
$c Place (including a name of an institution) where conference was held	X	MA
$d Date (of conference or meeting/of treaty signing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information (use for "other party" in treaty)	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "1" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA

(continued)

NOTES

See From Tracing - Corporate Name - This field contains the tracing for the form of corporate name referred from. Included here are see from tracings for geographic names with a corporate or form subheading and/or a title. See from tracings for geographic names alone or followed by a subject subdivision should be recorded in field 451.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
41Ø From Tracing - Corporate Name (cont.)		
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of corporate name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with corporate or form subheading and/or title	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

National Level Authority Record

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS		MARC Authorities Format	National Level Authority Record
411	See From Tracing - Conference or Meeting Name	X	MA
	$w Control subfield	X	MA
	$a Name (of conference or name of place as entry element)	X	M
	$b Number (of conference)	X	NU
	$c Place (including a name of an institution) where conference was held	X	MA
	$d Date (of conference)	X	MA
	$e Subordinate unit in name	X	MA
	$f Date (of a work)	X	MA
	$g Miscellaneous information	X	MA
	$h Media qualifier	X	OD
	$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
	$k Form subheading	X	MA
	$l Language	X	MA
	$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
	$p Name of part/section (of a work)	X	MA
	$q Name of conference following place as entry element	X	MA
	$s Version	X	MA

(continued)

NOTES

See From Tracing - Conference or Meeting Name - This field contains the tracing for the form of conference or meeting, event, or expedition name referred from.

Subfield code "b" is not valid for post-1980 records. Subfield code "n" should be used when coding the number of a conference or meeting, event, or expedition.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
411 See From Tracing - Conference or Meeting Name (cont.)		
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of conference or meeting name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with conference subheading	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

National Level Authority Record

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
43Ø See From Tracing - Uniform Title	X	MA
$w Control subfield	X	MA
$a Uniform title	X	M
$d Date (of treaty signing)	X	MA
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
(continued)		

NOTES

See From Tracing - Uniform Title - This field contains the tracing for the form of uniform title referred from.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
43Ø See From Tracing - Uniform Title (cont.)		
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
45Ø See From Tracing - Topical Subject	X	MA
$w Control subfield	X	MA
$a Topical subject or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

See From Tracing - Topical Subject - This field contains the tracing for the form of topical subject referred from.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
451 See From Tracing - Geographic Name	X	MA
$w Control subfield	X	MA
$a Geographic name or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$i Text of reference instruction phrase (used in conjunction with value "1" in byte Ø of the control subfield)	*	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

See From Tracing - Geographic Name - This field contains the tracing for the form of a geographic name (e.g., natural feature, geographic region, archaeological site, park, or political jurisdiction) alone or followed by a subject subdivision, referred from. See from tracings for geographic names with a corporate or form subheading and/or a title should be recorded in field 41Ø.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

NOTES

5XX See Also From Tracings -- General Information

A 5XX tracing field in an authority record contains a related heading. The 5XX field is used for a "see also from"[1/] tracing.

The actual references can be displayed from the 5XX fields as desired, based on the codes provided in control subfield w, if present. For instance, by coding the appropriate byte in subfield w in the 5XX field, explanatory data (e.g., "see also the later heading") can be displayed in the reference or no reference can be displayed from the 5XX field (a situation which is desirable when the reference is covered by a 663 note field in an authority record, etc.). If no subfield w is present in a 5XX field, a simple "see also" reference can be displayed from the data in the field.

Examples:- ("see also" reference display):

Edwards, Paul
see also
Edwards, P. (Paul K.)

(Displayed from tags 1ØØ and 5ØØ): [1ØØ] 1Ø‡aEdwards, P.‡q(Paul K.)

[5ØØ] 1Ø‡aEdwards, Paul

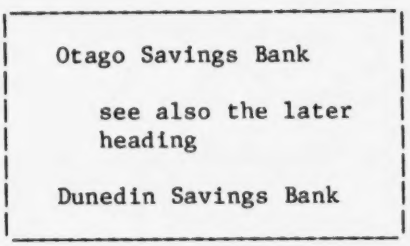
1/ In the actual references printed from the 5XX fields, the Library of Congress is currently using the phrase "search also under" rather than "see also."

National Level Authority Record

NOTES

5XX See Also From Tracings -- General Information (cont.)

("see also" reference display):



(Displayed from tags 11Ø and 51Ø): [11Ø] 2Ø#aDunedin Savings Bank

[51Ø] 2Ø#wa#aOtago Savings Bank

Note: The source of the explanatory text "see also under later heading" is code a (Earlier heading) in byte Ø of subfield code w in field 51Ø.

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
500 See Also From Tracing - Personal Name	X	MA
$w Control subfield	X	MA
$a Name	X	M
$b Numeration (roman numerals used in the entry element of a name)	X	MA
$c Titles and other words associated with the name	X	MA
$d Dates (of birth, death, or flourishing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$q Qualification of name (fuller form)	X	MA

(continued)

NOTES

See Also From Tracing - Personal Name - This field contains the tracing for a personal name that is either 1) an established heading that is in some way related to the heading in the 1XX field, or 2) a variant form of the established heading in the 1XX field when the variant form itself is the same as another established personal name heading.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC
* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
5ØØ See Also From Tracing - Personal Name (cont.)		
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of personal name	X	M
Ø - Forename only	X	MA
1 - Single surname	X	MA
2 - Multiple surname	X	MA
3 - Name of family	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

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M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
51Ø See Also From Tracing - Corporate Name	X	MA
$w Control subfield	X	MA
$a Name	X	M
$b Each subordinate unit in hierarchy	X	MA
$c Place (including a name of an institution) where conference was held	X	MA
$d Date (of conference or meeting/of treaty signing)	X	MA
$e Relator	X	OD
$f Date (of a work)	X	MA
$g Miscellaneous information (use for "other party" in treaty)	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA

(continued)

NOTES

See Also From Tracing - Corporate Name - This field contains the tracing for a corporate name heading which is related to the heading in the 1XX field. When such related names are geographic names with a corporate or form subheading and/or a title, they are recorded in this field. When such related names are geographic names alone or followed by a subject subdivision, they should be recorded in field 551.

First indicator value Ø is not expected to be needed under AACR 2 but are defined in the format and therefore retained for consistency.

For Information Only:
Beginning in 1981, LC does not use relator information (subfield code "e") on any authority records being newly created.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
51Ø See Also From Tracing - Corporate Name (cont.)		
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of corporate name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with corporate or form subheading and/or title	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
511 See Also From Tracing - Conference or Meeting Name	X	MA
$w Control subfield	X	MA
$a Name (of conference or name of place as entry element)	X	M
$b Number (of conference)	X	NU
$c Place (including a name of an institution) where conference was held	X	MA
$d Date (of conference)	X	MA
$e Subordinate unit in name	X	MA
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$n Number of part/section/conference (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$p Name of part/section (of a work)	X	MA
$q Name of conference following place as entry element	X	MA
(continued)		

NOTES

See Also From Tracing - Conference or Meeting Name - This field contains the tracing for a conference or meeting, event, or expedition name heading which is related to the heading in the 1XX field.

Subfield code "b" is not valid for post-1980 records. Subfield code "n" should be used when coding the number of a conference or meeting, event, or expedition.

Subfield codes "g" and "q" and first indicator values Ø and 1 are not expected to be needed under AACR 2 but are defined in the format and therefore retained for consistency.

Guide to Codes Used on the Opposite Page:

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* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
511 See Also From Tracing - Conference or Meeting Name (cont.)		
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Type of conference or meeting name	X	M
Ø - Surname (inverted)	X	MA
1 - Geographic name with conference subheading	X	MA
2 - Name (direct order)	X	MA
2nd - Nonfiling characters	X	M
Ø-9	X	M

National Level Authority Record

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
53Ø See Also From Tracing - Uniform Title	X	MA
$w Control subfield	X	MA
$a Uniform title heading	X	M
$d Date (of treaty signing)	X	MA
$f Date (of a work)	X	MA
$g Miscellaneous information	X	MA
$h Media qualifier	X	OD
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$k Form subheading	X	MA
$l Language	X	MA
$m Medium of performance (for music)	X	MA
$n Number of part/section (for music, this may be the serial, opus or thematic number, or date used as a number)	X	MA
$o Arranged statement (for music)	X	MA
$p Name of part/section (of a work)	X	MA
$r Key (for music)	X	MA
$s Version	X	MA
$t Title (of a work)	X	MA
$x General subject subdivision	X	MA
(continued)		

NOTES

See Also From Tracing - Uniform Title - This field contains the tracing for a uniform title heading which is related to the heading in the 1XX field.

Subfield code "t" is not expected to be needed under AACR 2 but is defined in the format and therefore retained for consistency.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
53Ø See Also From Tracing - Uniform Title (cont.)		
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
55Ø See Also From Tracing - Topical Subject	X	MA
$w Control subfield	X	MA
$a Topical subject or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

See Also From Tracing - Topical Subject - This field contains the tracing for a topical subject heading which is related to the heading in the 1XX field.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
551 See Also From Tracing - Geographic Name	X	MA
$w Control subfield	X	MA
$a Geographic name or name of place as entry element	X	M
$b Name following place as entry element	X	MA
$i Text of reference instruction phrase (used in conjunction with value "i" in byte Ø of the control subfield)	*	MA
$x General subject subdivision	X	MA
$y Chronological subject subdivision	X	MA
$z Geographic subject subdivision	X	MA
Indicators		
1st - Blank	X	M
2nd - Nonfiling characters	X	M
Ø-9	X	M

NOTES

See Also From Tracing - Geographic Name - This field contains the tracing for a geographic name heading (e.g., natural feature, geographic region, archaeological site, park, or political jurisdiction) alone or followed by a subject subdivision, which is related to the heading in the 1XX field. When such geographic names have a corporate or form subheading and/or a title, they should be recorded in field 51Ø.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

\# - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

NOTES

6XX Fields -- General Information

Fields 640-646 carry information specific to series, e.g., place and publisher/issuing body of the series, series analysis practice information, information as to whether the series is used as a series added entry in bibliographic records, etc. These fields appear in authority records.

Fields 663-666 are used when a required reference for a name is too complex to be constructed from one (or more) 4XX or 5XX tracings by a display program. The text of the reference (other than the heading referred from) is carried in field 663-666.

Fields 663 (Cataloger-Generated See also Reference (Names))
665 (Information or History Reference (Names))
when present, appear only in authority records.

Fields 664 (Cataloger-Generated See Reference (Names))
666 (General Explanatory Reference (Names))
when present, appear only in separate reference records.

Fields 667-682 are note fields which appear in authority records.

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
64Ø Dates of Publication and Volume Designation (Series)	X	MA
$a Dates of publication and volume designation	X	M
$z Source	X	MA
Indicators		
1st - Format of date	X	M
Ø - Formatted style	X	MA
1 - Unformatted note	X	MA
2nd - Blank	X	M
641 Numbering Peculiarities (Series)	X	OD
$a Numbering peculiarities note	X	M
$z Source	X	MA
Indicators - Blank	X	M

NOTES

Dates of Publication and Volume Designation (Series) - This field contains the beginning and/or ending dates of publication and/or the volume designation of a series. The field is used to differentiate series with the same or similar titles. This field contains information similar to that in field 362 of the serials format, but without the restrictions placed on the content of 362 by AACR 2.

Numbering Peculiarities (Series) - This field contains unformatted notes citing report-year coverage and/or irregularities and peculiarities in numbering. This field contains the same information as field 515 in the serials format.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
642 Series Numbering Example (Series)	X	MA
$a Series numbering example	X	M
$d Volumes/dates to which series numbering example applies	X	OD (current) M (earlier)
$5 Institution (and copy as needed) to which the field applies	X	M
Indicators - Blank	X	M
643 Place and Publisher/Issuing Body (Series)	X	OD
$a Place	X	M
$b Publisher/issuing body	X	M
$d Volumes/dates to which place and publisher/issuing body apply	X	OD[1/]
Indicators - Blank	X	M

1/ Optional if only one place and publisher/issuing body combination applies, i.e., if there is only one 643 field. However, the subfield is mandatory in each 643 field containing earlier place and publisher/issuing body information.

NOTES

Series Numbering Example (Series) - This field contains an example of the form of series numbering to be used in subfield "v" of the series added entry fields in bibliographic records for individual issues of a series. Numbering consistency is needed so that records for the individual issues can be sequenced properly for display.

Subfield "d" is optional in a 642 field containing an example of current numbering, but it is mandatory in each 642 field containing an example of earlier numbering.

Place and Publisher/Issuing Body (Series) - This field contains the place of publication and publisher/issuing body of the series.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
644 Analysis Practice (Series)	X	OD
$a Series analysis practice	X	M
f - Analyzed in full	X	MA
p - Analyzed in part	X	MA
n - Not analyzed	X	MA
$b Exceptions to analysis practice	X	MA
$d Volumes/dates to which analysis practice applies	X	OD (current) M (earlier)
$5 Institution (and copy as needed) to which the field applies	X	M
Indicators - Blank	X	M
645 Tracing Practice (Series)	X	OD
$a Series tracing practice	X	M
t - Used as series added entry (traced)	X	MA
n - Not used as series added entry (not traced)	X	MA
$d Volumes/dates to which tracing practice applies	X	OD (current) M (earlier)
$5 Institution (and copy as needed) to which the field applies	X	M
Indicators - Blank	X	M

NOTES

Analysis Practice (Series) - This field contains a one-character alphabetic code to indicate whether all volumes of a series are analyzed, some volumes are analyzed, or none are analyzed.

Subfield "d" is optional in a 644 field containing current analysis practice, but it is mandatory in each 644 field containing earlier analysis practice.

Tracing Practice (Series) - This field contains a one-character alphabetic code to indicate whether the series is used in bibliographic records as a series added entry tracing or as an untraced series note.

Subfield "d" is optional in a 645 field containing current tracing practice, but it is mandatory in each 645 field containing earlier tracing practice.

Guide to Codes Used on the Opposite Page:

X - Content designator has or will be used in MARC records distributed by LC

* - Content designator is not used in MARC records distributed by LC

M - Mandatory
MA - Mandatory if applicable
O - Optional
OD - Optional data
NU - Not used

Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
646 Classification Practice (Series)	X	OD
$a Series classification practice	X	M
c - Volumes in the series are classified as a collection	X	MA
m - Volumes in the series are classified with the main series	X	MA
s - Volumes in the series are classified separately (i.e., there is no series classification number)	X	MA
$d Volumes/dates to which classification practice applies	X	OD (current) M (earlier)
$5 Institution (and copy as needed) to which the field applies	X	M
Indicators - Blank	X	M

NOTES

Classification Practice (Series) - This field contains a one-character alphabetic code to indicate whether the volumes in a series are classified as a collection, with the main series, or separately.

Subfield "d" is optional in a 646 field containing current classification practice, but it is mandatory in each 646 field containing earlier classification practice.

Guide to Codes Used on the Opposite Page:	
X - Content designator has or will be used in MARC records distributed by LC	M - Mandatory MA - Mandatory if applicable
* - Content designator is not used in MARC records distributed by LC	O - Optional OD - Optional data NU - Not used
Full definitions on p. vi-vii	

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
663 Cataloger-Generated See Also Reference (Names)	X	OD
$a Instruction term, e.g., "see also"	X	M
$b Heading referred to	X	M
$t Related title	X	MA
Indicators - Blank	X	M

NOTES

Cataloger-Generated See Also Reference (Names) - This field is used in an authority record when a required "see also" reference cannot be constructed solely from the content of one of more 5XX tracing field(s).

The actual reference comprises the 1XX heading and the 663 field containing the "see also" (or similar instruction) and the related headings. Each heading cited as a "see also" reference in a 663 field is traced in a 5XX field in the same authority record. Byte 3 of subfield code w in the 5XX field should have code c to indicate that the reference from the 5XX field should not be displayed.

In the authority record for each of the related headings,

1. Byte 9 in field ØØ8 should be set to code a (Authority record).
2. A 1XX field (containing an established heading) must be present.
3. Tag 663 must be present.
4. A 5XX tracing field for each heading cited as a "see also" reference in the 663 field should be present. Byte 3 of subfield code w should be set to code c (Reference is not displayed from a tracing because it is covered by a 663 note field).

For Information Only:
Beginning in January 1981, LC makes cataloger-generated references only when the relationship cannot be adequately covered by multiple simple references produced from tracing fields.

Guide to Codes Used on the Opposite Page:

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Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
664 Cataloger-Generated See Reference (Names)	X	OD
$a Instruction term, e.g., "see"	X	M
$b Heading referred to	X	M
$t Related title	X	MA
Indicators - Blank	X	M

NOTES

Cataloger-Generated See Reference (Names) - This field is used in a separate reference record when a required "see" reference cannot be constructed solely from the content of one or more 4XX tracing field(s).

In the separate reference record, the unestablished form referred from is given in the 1XX field and the "see" (or similar instruction) and the headings referred to are given in field 664. The actual reference comprises the 1XX heading and the 664 field. In the authority record for each heading referred to, the 1XX field of the separate reference record is traced as a 4XX field. Byte 3 of subfield code w in each 4XX field should have code b to indicate that the reference from that field should not be displayed.

1. In the separate reference record,
   a. Byte 9 in field ØØ8 should be set to code c (Reference record (traced reference)).
   b. A 1XX field (containing an unestablished heading) must be present.
   c. Tag 664 must be present.

2. In each authority record,
   a. Byte 9 in field ØØ8 should be set to code a (Authority record).
   b. A 1XX field (containing an established heading) must be present.
   c. A 4XX tracing field for any reference being handled by the cataloger-generated 664 note should be present. Byte 3 of subfield code w should be set to code b (Reference is not displayed from a tracing because it is covered by a separate reference record containing a field 664).

(continued)

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Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

NOTES

Cataloger-Generated See Reference (Names) (cont.)

For Information Only:
LC separate reference records with a 664 field created prior to LC's implementation of the 1981 edition of the MARC authorities format contain both "see" and "see also" cataloger-generated references. Older records may have an established form of name in the 1XX field of a separate reference record, with the "see also" (or similar) instruction in subfield "a," whereas later records of the same type use a 663 field in an authority record for the cataloger-generated "see also" reference. Beginning in January 1981, cataloger-generated references are made only when the relationship cannot be covered adequately by one or more simple references produced from tracing fields.

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VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
665 Information or History Reference (Names)	X	OD
$a Information or history reference	X	M
Indicators - Blank	X	M

NOTES

Information or History Reference (Names) - This field is used in an authority record to provide historical information about the heading.

The actual information or history reference comprises the 1XX heading and the 665 field. The authority record for each established heading referred to in the reference contains an identical 665 field plus a 5XX "see also from" tracing field for every other heading referred to. Byte 3 of subfield code w in each 5XX field should have code d to indicate that the reference from that field should not be displayed.

In the authority record for each of the related headings,

1. Byte 9 in field ØØ8 should be set to code a (Authority record).
2. A 1XX field (containing an established heading) must be present.
3. Tag 665 must be present.
4. A 5XX tracing field for each established heading referred to in the 665 field should be present. Byte 3 of subfield code w should be set to d (Reference is not displayed from a tracing because it is covered by an information or history reference note in field 665).

(continued)

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Full definitions on p. vi-vii

National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record

NOTES

Information or History Reference (Names) (cont.)

For Information Only:
At LC, 1) for some name changes recorded before AACR 1 (1967), the earlier forms of heading were treated as "see" references and are traced as "see from" tracings. However, these tracings will not be coded as earlier headings in byte Ø of control subfield w. 2) For display purposes, LC repeated subfield code "a" in field 665 to designate the beginning of a paragraph and/or the beginning of each line in a list of headings. 3) As of mid-February 1981, the creation of new information or history references was discontinued. "See also" references, represented in the machine-readable authority record as regular 5XX tracing fields, are being substituted. Existing information or history references may remain in the records until a change in the information reference is required.

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Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
666 General Explanatory Reference (Names)	X	OD
$a General explanatory reference	X	M
Indicators - Blank	X	M

NOTES

General Explanatory Reference (Names) - This field is used in a separate reference record to provide explanatory information to assist in searching or filing.

The form referred from is given in the 1XX field and the explanatory information is given a 666 field. The actual general explanatory reference comprises the 1XX heading and the 666 field. The reference is not traced on any authority record.

In the separate reference record,
1. Byte 9 in field ØØ8 should be set to code b (Reference record (untraced reference)).
2. A 1XX field (containing an unestablished heading) must be present.
3. Tag 666 must be present.

For Information Only:
This field has not been used by LC to date.

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Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
667 Usage or Scope (Names)	X	OD
$a Usage note	X	M
Indicators - Blank	X	M
668 Characters in Nonroman Alphabets	*	OD
$a Characters in nonroman alphabet	*	M
Indicators - Blank	*	M
67Ø Source Data Found	X	M (current) MA (retrospective)
$a Citation	X	M
$b Information found	X	MA
Indicators - Blank	X	M

NOTES

Usage or Scope (Names) - This field contains information concerning usage or scope of the name heading being established.

Characters in Nonroman Alphabets - This field contains characters in a nonroman alphabet that represent the heading.

This field should only be used by organizations when machine codes to represent characters in nonroman alphabets have been defined.

Source Data Found - This field contains a citation to a reference source for information about the heading. The first 67Ø field usually contains the citation for the work for which the heading is being established.

For all current records, it is mandatory that this field be present and that it cite the work for which the heading is being established. For retrospective records, this field is mandatory if applicable.

An organization can include citations for other reference sources that included the heading being established, if desired.

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Full definitions on p. vi-vii

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
675 Source Data Not Found	X	OD
$a Citations for reference sources in which no data was found	X	M
Indicators - Blank	X	M
678 Epitome	X	OD
$a Epitome	X	M
Indicators - Blank	X	M

NOTES

Source Data Not Found - This field contains the citations for consulted reference sources in which no information about the heading was found.

Epitome - This field is used to record biographical, historical, or other information about the heading. Such data could also appear as part of other fields, e.g., Source Data Found (tag 67Ø).

For Information Only:
LC has used this field only for machine-readable authority records converted retrospectively from existing manual authority records. "Source data found" information in the manual records is summarized in field 678. Any new "source data found" information is recorded in field 67Ø.

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National Level Authority Record

VARIABLE FIELDS	MARC Authorities Format	National Level Authority Record
680 Scope Note (Subjects)	X	OD
$a Subject heading	X	MA
$i Explanatory text	X	M
Indicators - Blank	X	M
681 Example Under/Note Under (Subjects)	X	OD
$a Subject heading	X	M
$i Explanatory text	X	M
Indicators - Blank	X	M
682 Deleted Heading Information	X	OD
$a Heading	X	M
$i Explanatory text	X	M
Indicators - Blank	X	M

NOTES

Scope Note (Subjects) - A scope note is a statement indicating the usage of a subject heading and usually refers to related or overlapping headings.

For Information Only:
LC uses this field to record scope notes as they appear in the main edition of the LC subject headings list or in subsequent supplements.

Example Under/Note Under (Subjects) - This field in an authority record (Record 1) serves as a tracing for another record (Record 2) in which the heading in Record 1 appears as an example in a general explanatory "see" or "see also" reference (field 26Ø or 36Ø) or in a scope note (field 68Ø).

Deleted Heading Information - This field is used when the record status (Leader, byte 5) has code x and there is a need to explain why the record was deleted.

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